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**CERTIFICATE OF EXPRESS MAILING**

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I hereby certify that this and the enclosed paper(s) and/or fee(s) is/are being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Box Missing Parts, Washington, D.C. 20231.

*Shana V. Frazier*  
Shana V. Frazier

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In Re Application of:**

**Inventor:** John Ricciardi

**Examiner:** TBA

**Serial No.:** 09/892,958

**Filed:** June 27, 2001

**Group Art Unit:** 2164

**For:** System and Method for  
Selecting an Investment  
Item

**Docket No.:** 101831-000200-NP

**Date:** October 16, 2001

**TRANSMITTAL LETTER;  
FEE TRANSMITTAL;  
RESPONSE TO NOTICE TO FILE MISSING  
PARTS OF NONPROVISIONAL APPLICATION**

Box: Missing Parts  
Assistant Commissioner for Patents  
Washington, DC 20231

Dear Sir:

In response to the Notice to File Missing Parts dated August 21, 2001, the Applicant submits the following items:

- Copy of Notice to File Missing Parts of Nonprovisional Application;
- Original executed Declaration for Application Serial No. 09/892,958;

09/892,958-101601

- A late filing of declaration surcharge as set forth in 37 C.F.R. 1.16(e) of **\$65.00** for a small entity;
- Substitute drawings in compliance with 37 CFR 1.84; and
- Return Receipt Postcard.

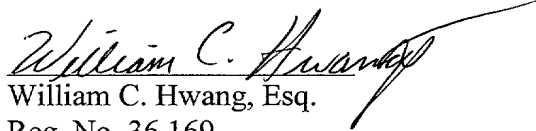
No new matter is included in the substitute drawings submitted herewith.

The Commissioner is hereby authorized to charge the late filing fee or declaration surcharge of \$65 and any additional fees or credit any overpayment to Deposit Account Number **06-0923**.

Enclosed is a duplicate copy of this correspondence.

Applicant's undersigned attorney may be reached in our New Jersey office by telephone at (973) 994-7847. All correspondence should continue to be directed to our below listed address.

Respectfully submitted,



William C. Hwang, Esq.

Reg. No. 36,169

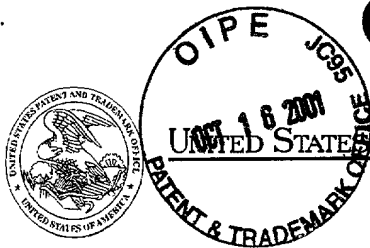
Goodwin Procter LLP

Seven Becker Farm Road

Roseland, NJ 07068

(973) 994-7847

FOR FILING



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/892,958	06/27/2001	John Ricciardi	101831-200-NP

CONFIRMATION NO. 3824

24964  
GOODWIN PROCTER & HOAR LLP  
7 BECKER FARM RD  
ROSELAND, NJ 07068

## FORMALITIES LETTER



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10/22/2001 BABRAHA1 00000019 060923 09892958

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Date Mailed: 08/21/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

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*Mun*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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TOTAL 232850